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PTO/SB/05 (08-00)  
Approved for use through 10/31/2002 OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCEUTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Check for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 2102475-991160  
First Inventor Yamaguchi et al.  
Title SEMICONDUCTOR DEVICE  
Express Mail Label No. EL 904 946 142 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS  
TO:Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 23]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [ Total Sheets 9 ]
5. Oath or Declaration – Unsigned [ Total Pages 2 ]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
- ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
- 8 Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies; or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- 9 ☐ Assignment Papers (cover sheet & document(s))
- 10 ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
- 11 ☐ English Translation Document (if applicable)
- 12 ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- 13 ☐ Preliminary Amendment
- 14 ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- 15 ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- 16 ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i) Applicant must attach form PTO/SB/35  
or its equivalent.
- 17 ☐ Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

26379

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

NAME (Print/Type)

Edward B. Weller

Registration No. (Attorney/Agent)

37,468

Signature

Ed B Weller

Date

September 27, 2001

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 750.00

## Complete if Known

Application Number	Not yet assigned
Filing Date	September 27, 2001
First Named Inventor	Yamaguchi et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	2102475-991160

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 07-1896  
Deposit Account Name Gray, Cary, Ware & Freidenrich

- ☐ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

## 2. Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ ) 710.00

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid	
17	-20** = 0	X 18 = 0		
Independent Claims	2	-3** = 0	X 0 = 0	
Multiple Dependent		X		

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
				** Reissue claims in excess of 20 and over original patent
110	18	210	9	

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	11	0240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unavoidable	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stms	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

Complete (if applicable)

## SUBMITTED BY

Name (Print/Type) Edward B. Weller

Signature

Registration No. (Attorney Agent)

37,468

Telephone

(650) 833-2436

Date

September 27, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
Gray Cary\EM\7087523.2

10-01-01  
**COPY**

09/27/01

11054 U.S. PAT. & TM. OFF. TO

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Docket No.

Applicant(s): Yamaguchi et al.

2102475-991160

Serial No.  
Not yet assigned

Filing Date  
September 27, 2001

Examiner  
Not yet assigned

Group Art Unit  
Not yet assigned

Invention: **SEMICONDUCTOR DEVICE**

I hereby certify that this Fee Transmittal; Utility Application Transmittal Letter; Utility Patent Application with 9 sheets of Formal Drawings; Declaration for Patent Application (signed); Recordation Form Cover Sheet with Assignment; and Return Post Card  
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner of Patents and Trademarks, Washington, D.C., 20231-0001 on September 27, 2001  
(Date)

Rosa A. Caviedes

(Typed or Printed Name of Person Mailing Correspondence)

Rosa A. Caviedes

(Signature of Person Mailing Correspondence)

EL 904 946 142 US

("Express Mail" Mailing Label Number)

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